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Page 1 of 1

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/733,815	03/30/2001	Andrew Hunt	51006-2 (3535-35-00) DIV

CONFIRMATION NO. 6225

FORMALITIES LETTER



OC000000006371880

John J. Piskorski
c/o EDWARDS & ANGELL, LLP
Dike, Bronstein, Roberts & Cushman, IP Group
130 Water Street
Boston, MA 02109

Date Mailed: 08/01/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- Late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 was not received.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

MD

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/15/2002 TGEDAMU1 00000065 09733815

01 FC:128
02 FC:105

~~1500.00 OF~~
130.00 OF

Receipt #
PATENT

Practitioner's Docket No. 51006-2 (3535-35-00) DIV

PATENT

MAR 12 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hunt et al.

Serial No.: 09/733,815

Group No.: 2831

Filed: March 30, 2001

Examiner: Not Yet Assigned

For: FORMATION OF THIN FILM CAPACITORS

Box Missing Part

Assistant Commissioner for Patents

Washington, D.C. 20231

COPY OF PAPERS
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**COMPLETION OF FILING REQUIREMENTS
— NONPROVISIONAL APPLICATION**

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed August 1, 2001.

NOTE: *If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.*

- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

NOTE: *The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.*

DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is a copy of the Declaration filed with the parent application U.S.S.N. Serial No. 09/198,285, filed November 23, 1998, now U.S. Patent No. 6,207,522.

03/15/2002 TGEDAMU1 00000065 09733815

01 FC:128

1960.00 00

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Deanna M. Rivner
Signature

Date: 2/28/02

Deanna M. Rivner
(type or print name of person certifying)

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. 1.48(f)(1).

OR

☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.

NOTE: Acceptable minimums in the declaration for identification of the specification to which it applies are the name of the inventor and (1) serial number (2) attorney docket number which was on the application as filed and the filing date (3) title of the invention and filing date (4) title of invention and reference to a specification which is attached to the declaration at the time of execution and filed with the declaration or (5) title of invention and a statement by a registered attorney that the application filed in the PTO is the application which the inventor executed by signing the declaration. If identification (4) is used it must be accompanied by a statement that the "attached" specification is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date; such a statement must be a verified statement if made by a person not registered to practice before the PTO. Notice of September 12, 1983 (1035 O.G. 3).

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☐ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

AMENDMENT CANCELLING CLAIMS

III. ☐ Cancel claims _____ inclusive.

TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 C.F.R. 1.69(b).

NOTE: The translation for a regular application filed in a foreign language must be verified. 37 C.F.R. 1.52(d).

SMALL ENTITY STATUS

V. ☐ A statement that this filing is by a small entity

(check and complete applicable items)

☐ are attached.

☐ A separate refund request accompanies this paper.

☐ was filed on _____ (original).

COMPLETION FEES

VI.

WARNING: Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. 1.53.

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).

1. Filing fee

☐ original patent application
(37 C.F.R. 1.16(a)--\$690.00; small entity--\$345.00) \$ _____

☐ design application
(37 C.F.R. 1.16(f)--\$310.00; small entity--\$160.00) \$ _____

2. Fees for claims

☐ each independent claim in excess of 3
(37 C.F.R. 1.16(b)--\$80.00; small entity--\$39.00) \$ _____

☐ each claim in excess of 20
(37 C.F.R. 1.16(c)--\$18.00; small entity--\$9.00) \$ _____

☐ multiple dependent claim(s)
(37 C.F.R. 1.16(d)--\$270.00; small entity--\$130.00) \$ _____

3. Surcharge fees

☐ late payment of filing fee
and/or

☒ late filing of original declaration or oath
(37 C.F.R. 1.16(e)--\$130.00; small entity--\$65.00) \$ 130.00

[X] The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 04-1105.

[X] 37 C.F.R. 1.16(a), (f) or (g) (filing fees)

[X] 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

[X] 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

[X] 37 CFR 1.17(a)(1)-(5)(extension fees pursuant to § 1.136(a).

[X] 37 C.F.R. 1.17 (application processing fees)

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 CFR 1.136(a)(3).

[] 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. 1.311(b).

NOTE: 37 C.F.R. 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee . . ." From the wording of 37 C.F.R. 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.


SIGNATURE OF PRACTITIONER

Reg. No. 33,860

Peter F. Corless

(type or print name of practitioner)

EDWARDS & ANGELL, LLP

Dike, Bronstein, Roberts & Cushman, IP Group

Tel. No. (617) 523-3400

P.O. Box 9169

P.O. Address

Customer No.

Boston, Massachusetts 02209

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(e).

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor (37 C.F.R. 1.17(i) and 1.47--\$130.00) \$ _____
5. ☐ Fee for processing an application filed with a specification in a non-English language (37 C.F.R. 1.17(k) and 1.52(d)--\$130.00) \$ _____
6. ☐ Fee for processing and retention of application (37 C.F.R. 1.21(l) and 1.53(d)--\$130.00) \$ _____
7. ☐ Assignment (See "ASSIGNMENT COVER SHEET".) \$ _____

NOTE: 37 C.F.R. 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. 1.53(f) and this, as well as, the changes to 37 C.F.R. 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(l) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$ 130.00

EXTENSION OF TIME

VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 380.00	\$190.00
<input type="checkbox"/> three months	\$ 870.00	\$435.00
<input type="checkbox"/> four months	\$1,390.00	\$680.00
<input type="checkbox"/> five months	\$1,960.00	\$980.00

Fee \$ 1,960.00

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

☐ An extension for _____ months has already been secured, and the fee paid therefor \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 1,960.00

OR

(b) ☐ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VIII.

The total fee due is

Completion fee(s)	\$ <u>130.00</u>
Extension fee (if any)	\$ <u>1,960.00</u>

Total Fee Due \$ 2,090.00

PAYMENT OF FEES

IX.

☒ Enclosed is a check in the amount of \$ 2,090.00.

☐ Charge Account No. _____ in the amount of \$ _____.
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. 1.22(b).

Please charge Account No. 04-1105 for any fees which may be due by this paper.

AUTHORIZATION TO CHARGE ADDITIONAL FEES

X.

WARNING: *Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.*

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 CFR 1.26(a).

Practitioner's Docket No. 51006-2 (3535-35-00)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hunt et al.

Serial No.: 09/733,815

Filed: March 30, 2001

For: FORMATION OF THIN FILM CAPACITORS

**COPY OF PAPERS
ORIGINALLY FILED**

**Assistant Commissioner for Patents
Washington, D.C. 20231**

DEAR SIR:

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data, which is:

☒ [X] incorrectly entered

and/or

☒ [X] omitted.

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:


MAILING

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

FACSIMILE

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 2/28/02


Signature

Deanna M. Rivernider

(type or print name of person certifying)

Error in

1. ☒ Applicant's indicated on Application Transmittal (clerical error).

Change Data

Remove as Inventors:

Scott A. FLANAGAN

George A. NEUMAN

Add as Inventors:

Tzyy Jiuan HWANG

Helmut G. HORNIS

Wen-Yi LIN

3. *(complete the following applicable item)*

- A. ☐ The correction(s) is/are not due to any error by applicant and no fee is due.

OR

- B. ☒ At least one of the above corrections is due to applicant's error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

☒ Enclosed is check for \$25.00.

☐ Charge Account _____ the sum of \$25.00.


SIGNATURE OF PRACTITIONER

Reg. No. 33,860

Peter F. Corless

(type or print name of practitioner)

EDWARDS & ANGELL, LLP

Dike, Bronstein, Roberts & Cushman, IP Group

P.O. Box 9169

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Boston, Massachusetts 02209



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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/733,815	03/30/2001	2831	800	51006-2 (3535-35-00) DIV	6	25	2

CONFIRMATION NO. 6225

FILING RECEIPT



OC000000006371879

John J. Piskorski
c/o EDWARDS & ANGELL, LLP
Dike, Bronstein, Roberts & Cushman, IP Group
130 Water Street
Boston, MA 02109

COPY OF PAPERS
ORIGINALLY FILED

Date Mailed: 08/01/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Andrew Hunt, Residence Not Provided;
Scott A. Flanagan, Residence Not Provided;
George A. Neuman, Residence Not Provided;

Assignment For Published Patent Application

MicroCoating Technologies of, Chamblee, GA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 09/198,285 11/23/1998 PAT 6,207,522

Foreign Applications

If Required, Foreign Filing License Granted 08/01/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Formation of thin film capacitors

Preliminary Class

361

Data entry by : GURMU, MULUEMEBET

Team : OIPE

Date: 08/01/2001

1. INFORMATION FROM THE AUTHOR AND/OR INSTITUTION
2. TITLE
3. AUTHOR
4. INSTITUTION
5. DATE
6. TEAM
7. DATA ENTRY BY
8. DATE OF ENTRY

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231